



Consortium

Capacity Development Indicators for the second phase of CGIAR Research Programs

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Capacity Development Indicators for the second phase of CGIAR Research Programs¹

Introduction

This document is a complement to the Second Call for Full Proposal Guidelines² provided by the CGIAR Consortium. It has been developed by members of the CGIAR Capacity Development Community of Practice (CapDev CoP) and builds on the Capacity Development Framework of CGIAR³. It is a living document that will be refined further before and during the implementation of the second round of CGIAR Research Programs (CRPs), also known as the CRPII portfolio.

The intended users of this document are capacity development professionals and members of the CRPII Full Proposal writing teams. The objective of this document is to enable the writing teams to develop indicators for monitoring and evaluation of the elements(10)⁴ of the CGIAR Capacity Development Framework that they decide to implement in their respective CRPs. The document suggests indicators for each of the elements in a way that is aligned with the Strategic Results Framework⁵ (SRF) and can be monitored and measured along the impact pathways. Hence, this document provides a guiding framework to capture and monitor capacity development outputs and outcomes of CRPs, and collectively the CRPII portfolio, with an aim to increase the impact of their work.

There are many potential indicators to measure different aspects of the Capacity Development framework, beyond the mere head-counting of trainees. This document provides a framework to capture the multi-dimensionality of the concept of capacity development. Under each of the 10 elements of the framework, the document identifies a minimum set of composite indicators that we consider a 'good enough' proxy for overall progress, and a medium provide numbers that could be monitored over time. Making sense of the numbers and verifying that they are indeed tracking overall progress will require collecting and analyzing qualitative data regularly, and using other complementary methods such as Most Significant Change or storytelling. However, designing such corroborative qualitative data analysis is outside the scope of this exercise.

¹ Prepared by the CGIAR Capacity Development Community of Practice (CapDev CoP). The CapDev CoP is grateful to the following members who made substantial contributions to this document: Suresh Babu (IFPRI), Per Rudebjer (Bioversity) Simone Staiger (CIAT), Iddo Dror (ILRI), Boru Douthwaite (WorldFish), Deborah Wyburn (ILRI), Mehmood Hassan (ICRAF), Nicole Lefore (IWMI), and Javier Ekboir (ILAC / Bioversity). This paper builds on the outputs of a CapDev CoP meeting to design CapDev Indicators held in Nairobi, Kenya on 29 June – 1 July 2015. Comments and feedback should be sent to:

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² <http://www.cgiar.org/our-strategy/second-call-for-cgiar-research-programs/>

³ <https://library.cgiar.org/bitstream/handle/10947/3414/CGIAR%20Capacity%20Development%20Framework%20Working%20Draft.pdf?sequence=4>

⁴ The 10 Capacity Development elements are: (1) Needs assessment and intervention strategy, (2) Learning materials and approaches; (3) Develop CRPs and centers' partnering capacity; (4) Develop future research leaders; (5) Gender sensitive approaches; (6) Institutional strengthening; (7) Monitoring and evaluation; (8) Organizational development; (9) Research on capacity development' and the so-called 10th element: Capacity to innovate

⁵ <https://library.cgiar.org/bitstream/handle/10947/3865/CGIAR%20Strategy%20and%20Results%20Framework.pdf?sequence=1%20Figure%203%20page%2031>

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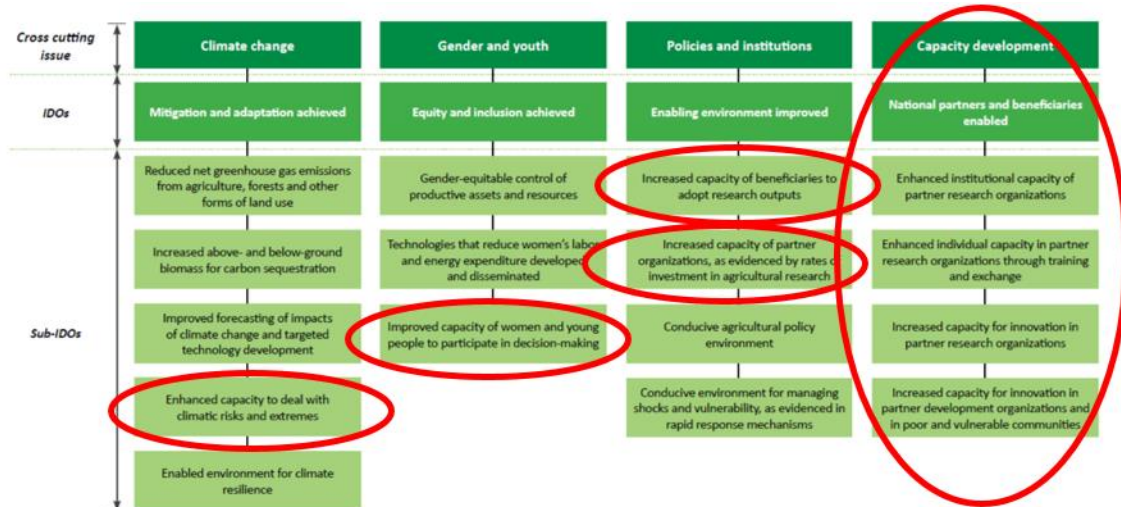
Theory of Change and CapDev Indicators

While questions related to monitoring and evaluation of investments in capacity development have been around for some time, little systematic effort has been made to identify performance indicators of capacity development that could be effectively used. We take a step forward by providing a framework for identifying indicators for monitoring and evaluation of capacity development activities of the CRP II portfolio.

The CapDev indicators identified here are based on a Theory of Change which best suits the capacity strengthening needs and priorities of CGIAR and its CRPs. A brief description of the different stages of the theory of change are provided below:

- **Output:** Outputs are within the full control of the CRPs and refer to the results of the resources that CRPs provide towards CapDev activities with respect to a given element.
- **Outcomes (CRP/Flagship level):** refers to changes in knowledge, attitude, skills, aspirations and/or behavior observed in individuals, organizations or institutions, as a result of the CRP output.
- **Outcomes (Bridging / Boundary partner level):** refer to outcomes to which the CRP/Flagship outcomes contribute, and which lead to the achievement of the sub-intermediate Development Outcomes (sub-IDOs).
- **Sub- Intermediate Development Outcomes (Sub-IDOs):** refer to the CapDev related sub-IDO(s) to which the outcomes map and contribute (refer Figure 1 below).

Figure 1: Cap Dev sub-IDOs in the CGIAR SRF



Further, for each of the CapDev Framework elements, indicators may be developed at five different levels to ensure a comprehensive method of measuring progress on capacity development. The levels are as follows: Level 1 – Systems, Level 2 – Organizations, Level 3 – Programmes, Level 4 – Projects, Level 5 – Individuals.

The monitoring and evaluation (M&E) system for capacity development, and the indicators used, should be designed keeping the following features in mind:

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- The M&E method should consider the relevance, efficiency, and effectiveness of the capacity development process itself
- The method should enable tracking 'change on the ground'
- The method should provide useful feedback and learning for continuous improvement of the way research and development process is managed
- Indicators will need to be detailed in terms of rationale, unit, disaggregation, data requirement and source, unit of analysis, interpretation, etc. as part of adjusting them to scale and context.

The first step is to identify the signature CapDev knowledge, attitude, skills, aspirations and/or behavior changes expected for each element. The CGIAR CapDev Framework document can be used as a good starting point.

We provide an overview of the CapDev Elements' mapping to the Sub-IDOs in Annex 1. Subsequently, Annex 2 presents tables with suggested indicators for all the elements. We have deliberately kept the number of indicators low (usually a max of 3 for each category presented) and it is important to note that there is a certain degree of similarity between indicators across the 10 elements, which is fine. Finally, in Annex 3 we provide a few 'high level indicators' that may be useful in tracking progress on the CapDev front for the CRPII portfolio as a whole.

How to use this document:

This document supports at least three different processes in the preparation and implementation of CapDev in the second generation of CRPs and their Flagships.

1. Development of Theories of Change and Impact Pathways: Since attaining outcomes and contributing to impacts depend on the behavior of individuals and organizations, and the support of an enabling institutional environment, the capacity at all three levels need to be considered. The CGIAR CapDev framework suggests 10 elements of capacity development as a 'tool box' for this process. Annex 2 below presents generic outputs and outcomes, accompanied by indicators, for each of the ten Elements, which can be used for crafting credible Theories of Change and Impact Pathways and planning how to monitor them.

2. Implementation of Results-Based Management (RBM): In the CRPII phase, RBM will be rolled out across all CRPs. This means that each CRP and each Flagship within a CRP will have to plan for results and monitor their delivery. Given that capacity development is both a tool for implementing the research portfolio, and a vehicle for bringing results into wider use, the indicators presented in Annex 2 will be useful for monitoring RBM and for bringing lessons learned back to the Flagship/CRP.

3. Monitoring CRPs contributions to sub-IDOs of the CGIAR: CRPs will need to regularly report their contribution to the sub-Intermediate Development Outcomes (sub-IDOs) of CGIAR, partly as accountability to the donors, partly as a performance measure. Annex 1 presents a matrix that maps CapDev Elements to the capacity-related sub-IDOs of the CGIAR Strategies and Results Framework (SRF). This matrix can be used as a reference to ensure that capacity development activities are adequately addressed within the CRP for it to contribute to the sub-IDOs. Annex 3 then suggests a set of high-level indicators that can be used in monitoring that contribution.

Annex 1: Matrix of CapDev Framework Elements Mapped to sub-IDs

CapDev Element	CapDev Sub-IDO				Other cross-cutting sub-IDs			
	Increased institutional capacity of partner research organizations	Enhanced individual capacity in partner research organizations through training and exchange	Increased capacity for innovation in partner research organizations	Increased capacity for innovation for partner development organizations, and poor and vulnerable communities	Increased capacity of beneficiaries to adopt research outputs	Increased capacity of partner organizations as evidenced by rates of investment in agricultural research	Improved capacity of woman and young people to participate in decision making	Enhanced capacity to deal with climatic risks and extremes
1. Needs assessment and intervention strategy	✓	✓	✓	✓	✓	✓	✓	✓
2. Learning materials and approaches		✓	✓	✓	✓		✓	✓
3. Develop CRPs and centers' partnering capacity	✓		✓	✓		✓		✓
4. Develop future research leaders	✓	✓	✓			✓		
5. Gender sensitive approaches ⁶							✓	
6. Institutional strengthening				✓		✓		
7. Monitoring and evaluation	✓				✓			
8. Organizational development	✓	✓	✓	✓				
9. Research on capacity development	✓		✓	✓	✓			✓
10. Capacity to innovate			✓	✓	✓			✓

⁶ The Gender element also maps to other Gender-related sub-IDs, including 'Gender-equitable control of productive assets and resources'; and 'Technologies that reduce women's labor and energy expenditure developed and disseminated'.

Annex 2: Suggested indicators for each of the CapDev Framework Elements

Note: Indicators will need to be detailed in terms of rationale, unit, disaggregation, data requirement and source, unit of analysis, interpretation, etc. as part of adjusting them to scale and context.

Element # 1: Needs assessment and intervention strategy

Delivering capacity related interventions without proper needs assessments may result in miss targeting of efforts, ineffective and inefficient use of scarce (CapDev) resources. CRPs need to develop strategies and interventions for capacity development based on CRP's ToC, impact pathways and partners' emerging needs and opportunities. Capacity needs assessment tools and approaches, customized for CRPs, need to be designed or adapted - or both. These assessments will help focus investments in capacity development and provide a benchmark for future monitoring, evaluation and impact assessment.

CapDev Outputs (CRP/Flagship level)	CapDev Outcomes (CRP/Flagship level)	CapDev Outcomes (Bridging / Boundary partner level)
<p>Output 1: Capacity Needs Assessment (CNA) methodology developed and/or adapted suiting CRPs' specific needs</p> <p>Indicator:</p> <ul style="list-style-type: none"> (Adapted) Needs Assessment Methodologies available in published form for each CRP. <p>Output 2: Capacity Needs of CRP research and development partners assessed</p> <p>Indicators:</p> <ul style="list-style-type: none"> Proportion of critical partners in CRP's impact pathway with whom (adapted) CNAs carried out Proportion of CRP Flagships using CNA methodologies at Flagship level 	<p>Outcome 1: CapDev interventions designed based on the results of CNAs</p> <p>Indicators:</p> <ul style="list-style-type: none"> Proportion of participants targeted in CNA involved in stipulated CapDev interventions (disaggregated by organization, CRP, Flagship, gender, and role/position). Proportion of CapDev budget allocated to interventions consistent with CNA recommendations (disaggregated by organization, CRP, Flagship) 	<p>Outcome 1: CapDev needs of CRP partner organizations met</p> <p>Indicator:</p> <ul style="list-style-type: none"> Proportion of participants targeted in CNAs whose CapDev needs were met.

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Element # 2: Learning materials and approaches

In order for capacity development programs to be effective, the learning materials produced (e.g. presentations and exercises for trainings and workshops) should be designed according to the context and audience of the capacity development activity. Each institute should have sources to provide guidance on content development to ensure that the institute's research is made more accessible and appealing to a wider range of users.

CapDev Outputs (CRP/Flagship level)	CapDev Outcomes (CRP/Flagship level)	CapDev Outcomes (Bridging / Boundary partner level)
<p>Output 1: Guidelines on content development published.</p> <p>Indicator:</p> <ul style="list-style-type: none"> No. of CRPs/Flagships publishing (and later following) guidelines on content development for anticipated audiences in their sector. <p>Output 2: Learning materials designed according to context and audience</p> <p>Indicators:</p> <ul style="list-style-type: none"> Proportion of learning materials developed for external audiences reviewed with relevant partners Proportion of learning materials developed in local languages where appropriate Proportion of learning materials using media formats accessible to intended audience <p>Output 3: Learning materials pilot tested with target audience.</p> <p>Indicator:</p> <ul style="list-style-type: none"> Proportion of learning materials developed for external audiences piloted with representative audience 	<p>Outcome 1: Learning materials accessible to targeted users.</p> <p>Indicator:</p> <ul style="list-style-type: none"> Proportion of training/workshop participants who rate learning materials as accessible in participant feedback surveys. <p>Outcome 2: Knowledge and skills of training/workshop participants increase after training</p> <p>Indicators:</p> <ul style="list-style-type: none"> Proportion of trainings/workshops where knowledge and skills of participants increase significantly Proportion of trainings/workshops where participants report attitude change <p>Outcome 3: Users implement the learnings / formulate recommendations / take decisions based on the training</p> <p>Indicator:</p> <ul style="list-style-type: none"> Incidence of changed perceptions/behavior attributed (in part) to training 	<p>Outcome 1: Partner research and development organizations use learning materials and approaches.</p> <p>Indicators:</p> <ul style="list-style-type: none"> number of partner organizations who use materials and approaches Number of training or learning events where the materials and approaches are used. Number of people trained (disaggregated by sex, job/role, location, literacy). Cost effectiveness of materials and approaches <p>Outcome 2: Training/workshops based on learning materials and approaches leads to changes in practice.</p> <p>Indicator:</p> <ul style="list-style-type: none"> Incidence of new regulations, practices implemented following training

Element # 3: Develop CRPs and Centers' partnering capacities

The outcomes expected as a result of increased capacity of centers and CRPs to partner, are that actors will be better able to:

1. Engage in strategic and effective multi-stakeholder partnerships for development impact at scale
2. Assess and support the capacity of current or potential partners
3. Monitor and evaluate partnerships, and collaboration
4. Communicate, share knowledge and learn with partners

CapDev Outputs (CRP/Flagship level)	CapDev Outcomes (CRP/Flagship level)	CapDev Outcomes (Bridging / Boundary partner level)
<p>Output 1: CapDev initiatives implemented to enhance capacity of CRPs to create and maintain partnerships.</p> <p>Indicators:</p> <ul style="list-style-type: none"> No. of partnership training programs/workshops conducted Proportion of partnership training programs/workshops attended by partner organizations. No. of partnering guidelines published No. of assessments of suitability, capacity, and complementarity of potential partner organizations conducted. <p>Output 2: Partnership strategy formulated based on a common understanding of the problem, and consensus on the goal(s) of their collectively agreed upon actions, with mutual roles identified and M&E strategy agreed.</p> <p>Indicators:</p> <ul style="list-style-type: none"> No. of partnership agreements signed. Proportion of partnership agreements that include mutually agreed communications, knowledge sharing, learning and M&E plans. <p>Output 3: Identification and engagement with key international, national, and local boundary partners within the required research for development spectrum.</p> <p>Indicator:</p> <ul style="list-style-type: none"> No. of collaborations (e.g. joint research, training/workshops conducted jointly, shared funding arrangements, common membership of multi stakeholder platforms) with partner organizations 	<p>Outcome 1: Partners throughout the whole research for development process are involved in vibrant, inclusive, impact-orientated partnership arrangement from which all parties derive benefit.</p> <p>Indicators:</p> <ul style="list-style-type: none"> No. of mutually funded partnership evaluations conducted No. of partnerships rated successful by key stakeholders No. of partnership agreements renewed Proportion of CRP and partner staff expressing a positive attitude towards partnerships. Number of joint publications accepted to peer-reviewed journals 	<p>Outcome 1: Partnerships help transform research output to development outcomes at scale</p> <p>Indicators:</p> <ul style="list-style-type: none"> Number of research outputs resulting from partnerships that are successfully scaled out. Number of technologies/tools adopted across partnering organizations.

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Element # 4: Develop future research leaders

Enhancing the capacity of young researchers in developing countries for taking leadership positions in their organizations is critical to the sustainability and innovative nature of collaborative research. The CGIAR offer many opportunities for developing such skills as part of its collaborative research programs.

The capacities developed through research fellowships, group training and mentoring not only builds competencies and confidence among the individual, but also influence the organizations and networks to which trainees and alumni belong. Hence, they contribute to a virtuous cycle that strengthens partnerships and builds capacity for innovation. As such, the development of future leaders should be encouraged. Although the individual is in focus, it requires that programs and projects systematically and proactively create space for such capacity development.

CapDev Outputs (CRP/Flagship level)	CapDev Outcomes (CRP/Flagship level)	CapDev Outcomes (Bridging / Boundary partner level)
<p>Output 1: PhD & MSc fellowships provided, together with opportunities for post-doc visiting scientists</p> <p>Indicators:</p> <ul style="list-style-type: none"> Amount of funding for fellowship programs Number of fellowship places provided (disaggregated by level, gender, department) Number of person months of post-doc and visiting researcher positions funded (disaggregated by department, gender) <p>Output 2: Mentorship and coaching of early career scientists provided.</p> <p>Indicators:</p> <ul style="list-style-type: none"> Number of scientists assigned mentors (disaggregated by department and gender) Number and type of training opportunities provided to early career scientists Number of early career scientists from partner organizations participating in CRP research 	<p>Outcome 1: Fellows and trainees applying research-for-development skills, tools and methods after return to home institution</p> <p>Indicators:</p> <ul style="list-style-type: none"> Number of scientific publications accepted. H-index of returned fellows / post-docs Number of research proposals involving returned fellows/ post-docs <p>Outcome 2: Participation of alumni in scientific networks and communities of practice</p> <p>Indicator:</p> <ul style="list-style-type: none"> No of returned fellows / post-docs citing membership of scientific networks/CoPs in bio/CV 	<p>Outcome 1: Institutional or national research programs involve trainees</p> <p>Indicators:</p> <ul style="list-style-type: none"> Funding allocations for research programs involving returned fellows/post-docs. <p>Outcome 2: Returned fellows/ post-docs take up leadership roles in scientific networks and communities of practice</p> <p>Indicator:</p> <ul style="list-style-type: none"> No. of returned fellows/post-docs citing evidence of leadership roles in bio/CV.

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Element # 5: Gender sensitive approaches throughout capacity development

The outcomes expected as a result of increased capacity to include gender-sensitive approaches into CRP research, are that actors will be better able to:

1. Continuously identify and prioritize gender-related dynamics, issues and opportunities in a research setting
2. Mobilize resources to effectively develop gender sensitive approaches.
3. Engage in effective partnerships that allow the inclusion of gender-sensitive approaches into CRP research
4. Provide and create opportunities for women as research leaders

CapDev Outputs (CRP/Flagship level)	CapDev Outcomes (CRP/Flagship level)	CapDev Outcomes (Bridging / Boundary partner level)
<p>Output 1: Identification and engagement with key international, national, and local boundary partners for gender sensitive approaches. Design and facilitation of gender learning agendas with partners.</p> <p>Indicators:</p> <ul style="list-style-type: none"> Number of partnerships initiated. Number of learning agendas evaluated and implemented. <p>Output 2: Provision of options for capacity development in gender approaches/toolkits from short online modules, to formal training courses, to mentoring programs</p> <p>Indicators:</p> <ul style="list-style-type: none"> Number of CapDev activities in gender approaches/toolkits initiated (disaggregated by type) Proportion of these CapDev activities that involve partner organizations Funding made available by CRP/Flagship for CapDev activities related to gender Funding provision within CRPs for mentoring of junior gender researchers <p>Output 3: Gender sensitivity in capacity needs assessments and learning materials</p> <p>Indicators:</p> <ul style="list-style-type: none"> Proportion of CNAs that do not proactively target female participation Proportion of learning materials not accessible to female participants 	<p>Outcome 1: Enhanced capacity and willingness of CRP staff and partners to understand and embrace gender sensitive approaches in the design and implementation of projects, programs, and policies.</p> <p>Indicators:</p> <ul style="list-style-type: none"> Number of joint evaluations of projects / programs / policies using gender analysis toolkit. Funding made available for design/review of gender sensitive approaches in the CRP (disaggregated by type of organization). 	<p>Outcome 1: Enhanced institutional and individual capacity of partner research and development organizations in gender sensitive design of projects, programs, and policies.</p> <p>Indicator:</p> <ul style="list-style-type: none"> Funding made available for design/review of gender sensitive approaches in partner projects /programs/policies (disaggregated by type of organization). <p>Outcome 2: Conducive agricultural policy environment for gender transformative measures.</p> <p>Indicator:</p> <ul style="list-style-type: none"> Number of new policies that support gender transformative measures (disaggregated by country)

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Element # 6: Institutional strengthening

Strong institutions—the formal and informal rules that structure and constrain human behavior and interaction—help CRPs and Centers focus on relevant research, fully engage with partners and stakeholders in the research process and the subsequent use of research results to achieve outcomes. Work in this area will focus on: (1) Institutional assessments to inform policy design and reform; (2) Facilitate and engage in multi-stakeholder dialogues; and (3) Develop capacity of decision makers to use research outputs

CapDev Outputs (CRP/Flagship level)	CapDev Outcomes (CRP/Flagship level)	CapDev Outcomes (Bridging / Boundary partner level)
<p>Output 1: Regular institutional assessments to inform policy design and support NARS</p> <p>Indicators:</p> <ul style="list-style-type: none"> Number of institutional assessments conducted with NARS Number of strategic plans for institutional strengthening formulated based on such assessments. <p>Output 2: CRPs/Flagships support institutional strengthening activities of boundary partners with a particular focus on policy makers from government agencies.</p> <p>Indicators:</p> <ul style="list-style-type: none"> Availability of funding from CRPs for institutional strengthening Number of policy-oriented knowledge sharing/training activities targeting human resources in NARS (disaggregated by focus – policy, technical) Number of participants at these events (disaggregated by agency) <p>Output 3: CRPs advocate for institutional strengthening support to government agencies working in agriculture</p> <p>Indicator:</p> <ul style="list-style-type: none"> Number of funding proposals to partner government & development organizations 	<p>Outcome 1: Strategic Plans for institutional strengthening of NARS implemented.</p> <p>Indicator:</p> <ul style="list-style-type: none"> Number of strategic plan recommendations implemented (disaggregated by agency). <p>Outcome 2: Institutional strengthening projects funded</p> <p>Indicators:</p> <ul style="list-style-type: none"> Number of projects commenced (disaggregated by agency) Budget allocation for new projects or institutional strengthening component of new projects 	<p>Outcome 1: Policy-making capacity of government agencies enhanced.</p> <p>Indicators:</p> <ul style="list-style-type: none"> Number of policy decisions taken (in part) based on engagement and information dissemination by CRPs Number of policy papers issued using research evidence generated by CRP/Flagships.

Element # 7: Monitoring & Evaluation of capacity development

It is important that capacity development activities are monitored regularly in order to ensure the relevance and impact of these activities. The documentation of best practices and lessons learned is critical in learning about the progress and flaws in various capacity development efforts.

CapDev Outputs (CRP/Flagship level)	CapDev Outcomes (CRP/Flagship level)	CapDev Outcomes (Bridging / Boundary partner level)
<p>Output 1: Engagement through workshops/participatory discussions to ensure use of best practices for monitoring and evaluation Indicators:</p> <ul style="list-style-type: none"> Number of workshops / discussions organized for discussion of methods/reflection on outcomes of evaluations conducted Budget allocated for workshops / discussions Number of M&E reflection/best practice papers published <p>Output 2: Guidelines and check lists for monitoring and evaluation of capacity strengthening activities exist. Indicator:</p> <ul style="list-style-type: none"> Number of guidelines and check lists for monitoring capacity strengthening activities produced/updated (disaggregated by type of activity) <p>Output 3: Regular monitoring and evaluation of capacity strengthening activities by CRPs/Flagships Indicators:</p> <ul style="list-style-type: none"> Budget allocated to M&E of capacity strengthening activities (disaggregated by program, project) Proportion of CapDev activities for which monitoring reports produced Number of internal/external evaluations undertaken Number of programs/projects which capture lessons learned for replication and upscaling 	<p>Outcome 1: Detailed reporting on a wide range of holistic CapDev indicators is available (periodically and/or 'on-demand') and feed into management decisions Indicators:</p> <ul style="list-style-type: none"> Frequency with which CapDev indicators are released Frequency with which CapDev indicators are cited in reports (disaggregated by CRP, Flagship, program, project) <p>Outcome 2: Recognition of importance of M&E of capacity strengthening activities using recognized best practice Indicators:</p> <ul style="list-style-type: none"> Number of Flagships / clusters that conduct M&E of capacity development activities Budget (including staff time) allocated to M&E of capacity development activities Number of 'innovations' adopted across programs Analysis of ROI of CapDev activities being used to inform CRP investments 	<p>Outcome 1: Increased knowledge on best practices for capacity development Indicators:</p> <ul style="list-style-type: none"> Number of evaluations of CapDev components of program/project designs from CRPs and partner organizations Budget allocated to CapDev initiatives in CRPs and partner organizations Number of publications compiling the system-wide lessons on effective capacity development practices

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Element # 8: Organizational development

In order to increase the reach and impact of agricultural and policy research, the capacities of national agriculture and policy research systems to conduct and manage research must be strengthened. In order to strengthen the capacity of national systems, it is also important that CRPs engage with these types of institutions at the national level for increasing their research impact.

CapDev Outputs (CRP/Flagship level)	CapDev Outcomes (CRP/Flagship level)	CapDev Outcomes (Bridging / Boundary partner level)
<p>Output 1: Engagement with NARS and research partners throughout the research planning and implementation cycle Indicator:</p> <ul style="list-style-type: none"> Number of meetings at different stages of CRP cycle (planning, implementation, progress review, evaluation) <p>Output 2: Strengthen NARS and research partner skills related to research cycle (proposal writing, financial management, project management, M & E, impact evaluation; uptake planning and activities) Indicators:</p> <ul style="list-style-type: none"> Number of workshops or trainings provided on research management Number of participants from NARS and research partner organizations attending Number of knowledge products produced on innovative research approaches and research process management tools and practices Number of NARS and research partner student, staff and faculty in visiting scholar or professional positions; Number of young professionals in mentoring arrangements with CRP 	<p>Outcome 1: Stronger skills of individual and organizations in research planning and management Indicator:</p> <ul style="list-style-type: none"> Increase in funded research projects led by NARS and research partners <p>Outcome 2: Stronger skills of individuals and organizations in sharing results with brokers and end users for uptake Indicator:</p> <ul style="list-style-type: none"> No. of knowledge products targeting end users Increase in engagement activities between NARS and brokers and end users of research (identifying research needs and subjects; sharing research results) <p>Outcome 3: More effective R4D is produced by NARS Indicator:</p> <ul style="list-style-type: none"> Increase in peer reviewed publications led by NARS students and faculty 	<p>Outcome 1: Institutional support at national level for effective R4D Indicator:</p> <ul style="list-style-type: none"> Increase in funded time for NARS staff for research planning, management and uptake activities Implementation of incentive and reward system for engaging in uptake activities Funding provided for initiatives to share research with users <p>Outcome 2: Productive university-industry collaboration Indicator:</p> <ul style="list-style-type: none"> Increase skills of NARS in valorization of research outputs Number of NARS researched and field-tested technologies, patents or practices in valorization (through commercialization or public programs)

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Element # 9: Research on capacity development

In order to develop more effective approaches to capacity development, activities should involve research on lessons learned through various efforts. Research on capacity development will help all the CGIAR programs to improve the achievement of outcomes by reflecting on how well current capacity development methods are working and how they can be improved.

CapDev Outputs (CRP/Flagship level)	CapDev Outcomes (CRP/Flagship level)	CapDev Outcomes (Bridging / Boundary partner level)
<p>Output 1: Measures of effectiveness including participant satisfaction, knowledge and skill gains, and behavioral/attitudinal change collected for all CapDev activities.</p> <p>Indicators:</p> <ul style="list-style-type: none"> • %age of courses conducted where participant satisfaction data is collected and analyzed; • %age of courses where knowledge/skill gains are quantitatively assessed; • %age of courses for which behavioral/attitudinal change is tracked following course completion. <p>Output 2: A full costing of any new initiative calculated and shared to support cost-effectiveness comparisons.</p> <p>Indicator:</p> <ul style="list-style-type: none"> • Percentage of new capacity development initiatives for which a full costing assessment is conducted. 	<p>Outcome 1: Institutes will use data collected from courses to improve their content and delivery over time.</p> <p>Indicator:</p> <ul style="list-style-type: none"> • % initiatives where implementers can show evidence of incremental improvement in course content and delivery driven by evidence <p>Outcome 2: A commitment to cost-efficiency in decision making on capacity development activities.</p> <p>Indicator:</p> <ul style="list-style-type: none"> • Number of initiatives where management requires evidence of cost-effectiveness <p>Outcome 3: A recognition of the importance of research on capacity development and a commitment to using research to improve the effectiveness of capacity development activities</p> <p>Indicators:</p> <ul style="list-style-type: none"> • Proportion of budget allocated to research on capacity development; • Proportion of budget allocated to knowledge sharing related to research on capacity development • Number of research papers on CapDev processes and learning published 	<p>Outcome 1: CRP institutes will participate in planning for capacity development initiatives with partners based on advice from these partners on constraints to innovation and/or required behavioral/attitudinal change in target audiences.</p> <p>Indicator:</p> <ul style="list-style-type: none"> • Number of planning meetings with partners on capacity development initiatives <p>Outcome 2: CRP institutes will bring to the table evidence from research on capacity development initiatives conducted internally or in other CG centers.</p> <p>Indicators:</p> <ul style="list-style-type: none"> • Number of Meetings/workshops where CRP institutes present the results of their research on capacity development to partner research and development organizations.

Capacity Development Indicators for the second phase of CGIAR Research

Element # 10: Capacity to Innovate

CRP research process and output enhances the capacity of rural innovation systems to innovate in a number of ways including through developing novelty (e.g. new technology) and enhancing the capabilities of system actors to experiment, take risks, assess trade-offs, link together to access new information and form coalitions and innovation platforms. This element measures an important way in which CRPs enhance this capacity, that is, the facilitation of experiential learning and reflection as part of collaborative and participatory research and engagement processes involving partners and rural communities.

CapDev Outputs (CRP/Flagship level)	CapDev Outcomes (CRP/Flagship level)	CapDev Outcomes (Bridging / Boundary partner level)
<p>Output 1: Facilitation of experiential learning and reflection (at a specified scale)</p> <p>Indicator:</p> <ul style="list-style-type: none"> Number of groups and multi-stakeholder (innovation) platforms facilitated by CRP (disaggregated by gender, socio-economic status, organizational affiliation) Frequency of CRP engagement in learning process 	<p>Outcome 1: Increased and better quality experimentation</p> <p>Indicator:</p> <ul style="list-style-type: none"> Composite index measuring rate and quality of group, platform, household, experimentation with novelty (new ideas, technologies), including degree and source of novelty, quality of selection process and who is involved in making it <p>Outcome 2: Increased access to novelty (new technology, ideas, innovation)</p> <p>Indicator:</p> <ul style="list-style-type: none"> Composite index measuring access to and sharing of novelty <p>Outcome 3: Increased support received and given to experiential learning and reflection</p> <p>Indicator:</p> <ul style="list-style-type: none"> Composite index measuring the support that participants give and receive for experimenting and making sense of results 	<p>Outcome 1: Adoption of technology (technical and institutional)</p> <p>Indicator:</p> <ul style="list-style-type: none"> Adaptation, adoption and spread of innovation associated with participating groups, platforms, households, etc <p>Outcome 2: Spread of CRP approaches that support experiential learning and reflection</p> <p>Indicator:</p> <ul style="list-style-type: none"> Degree of adoption of approaches that support experimentation, learning and reflection

Annex 3: Suggested high level indicators at CRPII Portfolio level

Capacity Development sub-IDO 1: Increased institutional capacity of partner research organizations
<ol style="list-style-type: none"> 1. Percentage of CRPs operational expenditures channeled to partner research organization 2. Number of NARIs using or adapting varieties, technologies, or practices generated by CRPs 3. Number of partner research organizations who use CGIAR learning materials and approaches developed by CRPs 4. Number of references in policy documents citing research on institutional strengthening
Capacity Development sub-IDO 2: Enhanced individual capacity in partner research organizations through training and exchange
<ol style="list-style-type: none"> 5. Number of short and long term fellows (Internships, MSc, PhD, post-Doc) 6. Number, quality and targeting of short-term training. 7. Number, duration and quality of mentoring and exchange in research partnership agreements 8. Percentage of junior researchers from priority countries among CRP staff
Capacity Development sub-IDO 3: Increased capacity for innovation in partner research organizations
<ol style="list-style-type: none"> 9. Degree of adoption of approaches that support experimentation, learning and reflection 10. Frequency of CRP engagement in learning process
Capacity Development sub-IDO 4: Increased capacity for innovation in partner development organizations, and in poor and vulnerable communities
<ol style="list-style-type: none"> 11. Composite index measuring rate and quality of group, platform, household, experimentation with novelty (new ideas, technologies), including degree and source of novelty, quality of selection process and who is involved in making it 12. Adaptation, adoption and spread of innovations linked to CRPs participatory research results

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